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Date: 14 May 2002

To: King County Executive  
Members of the Metropolitan King County Council  
Separately Elected Officials  
Ombudsman—Director of the Office of Citizen Complaints  
Department Directors of King County  
King County Board of Ethics Members

From: Catherine A. Clemens, Administrator  
King County Board of Ethics

Re: **FINAL REPORT—2002 Program for the Disclosure of Financial and Other Interests**

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## Summary

The King County Board of Ethics is authorized under K.C.C. 3.04.050 to conduct an annual program that requires affected county employees, elected officials and board and commission members to file statements of financial and other interests.

As of May 14, 2002, compliance rates are as follows:

### ***Employees and Elected Officials***

Total number of individuals required to file:	<b>1,969</b>
Percentage in compliance:	<b>100%</b>
Number of employees not filed:	<b>0</b>

### ***Board and Commission Members***

Total number of members required to file:	<b>436</b>
Percentage in compliance:	<b>92%</b>
Number of members not filed:	<b>37</b>

Under the provisions of K.C.C. 3.04.060 B 3., the Board of Ethics requests that the executive, if he is the appointing authority, begin immediate removal of members of board and commissions who have failed to comply with this requirement under the King County Code of Ethics.

**THE FOLLOWING REPORT** details the current disclosure program, providing information on training and education; systems of document review; notification, reminders and reports; and recommendations for improvements to the program.

## **The Program**

Chapter 3.04 of the King County Code requires annual disclosure of financial and other interests by April 15<sup>th</sup>. The intent is to identify situations in which there may be a potential for conflict between the exercise of official responsibilities on behalf of King County and private interests. County law requires annual financial disclosure by: elected county officials; employees appointed by the county executive; employees appointed by the deputy county executive or department directors and who are subject to the approval of the County Executive. In addition, under K.C.C. 3.04.050, the Board of Ethics has determined other categories of employees who are required to file, including but not limited to: members of boards, commissions, committees and other multi-member bodies; employees whose duties include grant and contract management authority; and those who invest, manage or authorize the expenditure of county funds.

## **Training and Education**

In order to encourage greater understanding of the program and increase compliance with its requirements, the board administrator conducted training and education sessions on January 15 and 17, 2002. Nine department coordinators and 11 board or commission staff liaisons attended the hour-long sessions. Participants received an overview of the program, a timeline of important dates, a list of categories identifying who must file, a roster from the previous year for their department or board and a sample form. Current forms were made available during training sessions. The interactive sessions included a review of the form and the information to be disclosed. Any staff member unable to attend received the training information within a week through inter-office mail.

## **Notifications, Reminders and Reports**

Working with the ethics board and office, on December 7, 2002, Executive Sims notified executive branch directors that the annual program was to begin. He stated the importance of the program and made clear his support and expectations for full compliance by deadline of April 15, 2002. The ethics office communicated directly with department leaders on December 12, 2001, to request current rosters of employees and board members required to file. Beginning December 12, 2001, and continuing through April 18, 2002, the ethics office sent notices, reminders and comprehensive reports on compliance to those employees designated by department directors to implement the program. Between February 26 and April 9, 2002, coordinators and staff liaisons received weekly status reports. The ethics office reported progress to the executive, county council chair, separately elected officials and department directors on March 20 and April 18, 2002. Reports included an

overview of compliance for all departments and the boards and commissions within those departments.

## **Review and Audit Process**

To ensure consistency and accuracy, the ethics administrator reviewed and audited all forms systematically. Upon receipt, staff date-and-time-stamped all forms. Following individual review by the administrator, incomplete forms, or forms requiring clarifying information, were either: 1) immediately returned directly to the individual, under confidential envelope, together with an explanatory cover memo or 2) whenever possible, resolved through telephone or email inquiries. Staff then filed all approved forms in a locked file cabinet and sent all previous year's forms to archives; archived forms may only be retrieved by authorized ethics personnel.

## **Compliance Rates**

Only 13 employees (less than 1%) and 41 board and commission members had not filed by the April 15 deadline. Compliance for both filing deadline (April 15) and the date of this final report (May 14) reflects a record high over all previous years.

As of the filing deadline of April 15, 2002, compliance rates were as follows:

### ***Employees and Elected Officials***

Total number of individuals required to file:	<b>1,969</b>
Percentage in compliance:	<b>99%</b>
Number of employees not filed	<b>13</b>

### ***Board and Commission Members***

Total number of members required to file:	<b>436</b>
Percentage in compliance:	<b>91%</b>
Number of members not filed	<b>41</b>

As of May 14, 2002, compliance rates were as follows:

### ***Employees and Elected Officials***

Total number of individuals required to file:	<b>1,969</b>
Percentage in compliance:	<b>100%</b>
Number of employees not filed	<b>0</b>

### ***Board and Commission Members***

Total number of members required to file:	<b>436</b>
Percentage in compliance:	<b>92%</b>
Number of members not filed	<b>37</b>

A detailed list of those not in compliance may be found at the end of this report.

## **Penalties**

Affected employees who failed to comply with the requirement of K.C.C. 3.04.050 are in violation of the King County Code of Ethics and subject to penalties provided in K.C.C. 3.04.060, including disciplinary action, up to and including termination from employment. Under the same Code provision, members of boards and commissions who fail to comply with this requirement shall be subject to immediate removal from such appointments by their appointing authority. Outstanding disclosure statements may be filed at any time with the ethics office.

## **Board Request for Executive Action**

Under the penalties provision detailed immediately above, the Board of Ethics requests that the executive, if he is the appointing authority, begin immediate removal of members of board and commissions who have failed to comply with this requirement.

## **Recommendations**

It is clear that the role of leadership matters in ensuring compliance with the disclosure program. Each year, filing compliance has increased as department directors become more involved. Communications by county leaders to their staff stating the importance of the disclosure program and the expectation of full compliance has worked and is demonstrated by this year's compliance figures.

Filing by board and commission members continues to stay around 91%. Therefore, it is recommended that directors communicate with these citizen volunteers throughout the disclosure period to ensure that members understand the importance of the filing requirement and that they comply with the law.

Timely filing by all would result not only in the desired legal compliance, but also in program efficiencies and cost savings to the county.

## **Appreciation**

On behalf of the Board of Ethics, I wish to thank Executive Sims for his support, and county leadership and employees implementing the disclosure program for their work and cooperation. We seek improvements in the program each year and welcome your comments.

**2002 Final Report on Disclosure of Financial and Other Interests  
Board and Commission Members Not In Compliance With Filing Requirement  
(as of May 14, 2002)**

<b>Department</b>	<b>Board/Commission</b>	<b>Member Name</b>
<b>Community &amp; Human Services</b>	Veterans Advisory Board	Joe Feldman Manning Becker Dale McAnulty
<b>Development and Environmental Services</b>	Building Code Appeals	Kevin Madison
<b>Executive Services</b>	Emergency Management	Ben Weyhing
<b>County Council</b>	Harborview	J. Thomas Ranken John Sothern
<b>Natural Resources &amp; Parks</b>	Rural Forest	Rudy Edwards Andrew Schwartz Matthew Mattson
	Sports & Youth Recreation	Harold Fowler Grant Richardson Kristen Bush Chuck Ayers Jim Chavez Lori Hogan Brianna Pettigrew Eric Smith Patti Petesch Cheryl Chow Phil Talmadge Sandy Elliot Bob Regan Diane Taniguchi Geoff Clayton Jeffy Rericich Reid Johnson Craig Larsen
<b>Cultural Resources</b>	Arts Commission	Kathy Magiera Kristin Webb Lynn Norman
	Cultural Education	Kristin Webb Jason Everett Gary La Turner
<b>Public Health</b>	HIV/AIDS Council	Deborah Hudson
	Plumbing Appeals	James Donaldson David Milano